HighView RM v4.1 by Vredenburg Corporation

HighView Records Manager v 4.1 Summary Report
(HighView v4.1 with Tarian eRecordsEngine)

The Joint Interoperability Test Command (JITC) tested a Records Management Application (RMA) product pairing consisting of Vredenburg's HighView RM v4.1 and Tarian Software's eRecordsEngine v2.0. The compliance testing was conducted at the Vredenburg facility in Lanham, Maryland from 18 through 22 November 2002.

The JITC determined that the HighView RM v4.1 pairing is compliant with DOD 5015.2 Standard, "Design Criteria Standard for Electronic Records Management Software Applications," June 2002.

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1.   Product Identification

HighView RM v4.1 is an integrated product that combines the workflow capabilities of HighView with the records management capabilities of Tarian eRecordsEngine.

1.1   Allocation of Requirements

Table 1 identifies the mandatory functions required by the Standard and indicates which of those functions are performed by Tarian, which are performed by HighView, and which are performed by both products. Comments indicate whether the functions are performed separately by the two products or jointly (one product does not fully satisfy the requirement; therefore, both products are required).

Table 1. Mandatory Functions Allocation				
DOD 5015.2-STD		HighView	TeR	Comments
Para	**Requirement**			
C2.1.1.	Managing Records	✔	✔	Joint
C2.1.2.	Accommodating Dates and Date Logic	✔	✔	Separate
C2.1.3.	Implementing Standard Data	✔	✔	Joint
C2.1.4.	Backward Compatibility	✔	✔	Not Tested[1]
C2.1.5.	Accessibility	✔	✔	Separate
C2.2.1.	Implementing File Plans		✔	
C2.2.2.	Scheduling Records		✔	
C2.2.3.	Declaring and Filing Records	✔	✔	Joint
C2.2.4.	Filing E-mail Messages	✔	✔	Joint with Outlook
C2.2.5.	Storing Records	✔	✔	All electronic records are stored in HighView
C2.2.6. Retention and Vital Records Management				
C2.2.6.1.	Screening Records		✔	
C2.2.6.2.	Closing Record Folders		✔	
C2.2.6.3.	Cutting Off Record Folders		✔	
C2.2.6.4.	Freezing/Unfreezing Records		✔	
C2.2.6.5.	Transferring Records	✔	✔	Joint
C2.2.6.6.	Destroying Records	✔	✔	Joint
C2.2.6.7.	Cycling Vital Records		✔	
C2.2.6.8.	Searching and Retrieving Records	✔	✔	Joint
C2.2.7.	Access Controls	✔	✔	Joint
C2.2.8.	System Audits	✔	✔	Joint
C2.2.9.	System Management Requirements	✔	✔	Performed by the operating system and DBMS

2.   Test Configuration

The testbed hardware configuration consisted of:

- One PC running MS Windows 2000 Advanced Server, MS SQL Server 2000, Tarian eRecordsEngine v2.0, and SQL Server

- One PC running MS Windows 2000 Advanced Server, MS SQL Server 2000, Tarian eRecordsEngine v2.0, and Oracle 8.i

- One PC client running Windows NT 4.0 (SP6a), HighView RM 4.1

- One PC client running Windows 2000 Professional, HighView RM 4.1

MS Outlook 2000 provided the e-mail capability for the test. MS Office 2000 was installed on all client machines, but was not used for testing.

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[1] This test was the first test against this requirement. Test data from a previous system was not available.

3. RMA Mandatory Requirements

3.1 Managing Records [C2.1.1.]

HighView RM v4.1, hereafter referred to as HighView, is a workflow application with an electronic record repository. HighView utilizes a single user interface that allows users to file electronic records, e-mail messages, and documents stored on other media, such as paper, diskette, or tape, as records in Tarian. Records filed through the HighView user interface remain in the HighView repository and are stored in their native file format. Record profile metadata is kept in the Tarian eRecordsEngine, hereafter referred to as TeR.

3.2 Accommodating Dates and Date Logic [C2.1.2.]

The solution stores and displays dates using a 4-digit year format. It recognizes leap years including the year 2000. It accepts user input of valid dates from current, previous, and future centuries.

3.3 Implementing Standard Data [C2.1.3.]

The HighView/TeR pairing provides the capability to implement standardized data. User-defined fields are created in TeR. Once created within TeR, user-defined fields are displayed automatically on the record profile data entry forms available through the HighView user interface.

3.4 Backwards Compatibility [C2.1.4.]

This is the first test for this product against version two of DOD 5015.2-STD[2], therefore test data from a previous test was not available to verify backwards compatibility.

3.5 Accessibility [C2.1.5.]

The Vredenburg-provided 508 Voluntary Product Accessibility Templates (VPATS) are provided in the appendices of the detailed test report. Tarian-provided 508 VPATS are provided as appendices to the Tarian detailed test report.

3.6 Implementing File Plan [C2.2.1.]

The TeR engine in the solution provides the required capabilities for creating and maintaining a file plan through the File Plan Design tab. File plan information is stored in a relational database and consists of series, files, folders, and documents.

Disposition instructions are encompassed in the Life Cycle Code. Life cycle codes are then assigned to the record plan components. If a life cycle code is assigned at the series level, components under that series inherit that code unless another life cycle code is specified for that component.

3.7 Scheduling Records [C2.2.2.]

The TeR engine in the solution provides the capability to schedule records and automatically tracks the disposition schedules for screening and disposition processing. Record lifecycles are implemented using phases through which each record must pass for the period of time designated in the associate lifecycle codes.

3.8 Declaring and Filing Records [C2.2.3.]

Users file electronic records in HighView using record profile data entry forms. Users assign a file code to a record, populate the remaining record profile fields, and the data is synchronized with TeR to declare an official record.

At the time of filing, a unique record identifier and a date/time stamp is assigned to each record. The date/time stamp serves as the required Date Filed profile field. Users cannot modify either field.

3.9   Filing E-mail Records [C2.2.4.]

HighView includes an MS Outlook add-in that facilitates filing of e-mail messages. The add-in functions as an e-mail wizard that captures most metadata automatically. It allows the user to review the information and make changes to editable fields as desired, and assign a file code. Attachments are automatically linked to their corresponding e-mail messages. HighView also allows a user to link the e-mail or attachment to another record in HighView before exiting the wizard.

3.10 Storing Records [C2.2.5.]

HighView stores records in a repository on the Windows server File System and controls user access to the repository. TeR stores the record profile information for electronic records filed through the HighView interface. Only users with appropriate access can delete records from either repository.

File plan and document profile data are stored separately from the actual records in a relational database. MS SQL Server 2000 and Oracle 8.i provided the record database during the certification test.

3.11 Screening Records [C2.2.6.1.]

Records managers perform screening functions through the TeR Life Cycle Administration screens. From there, they design queries and reports for information relating to the records' life cycle, such as finding folders due for cutoff, transfer, or destruction.

3.12 Closing Record Folders [C2.2.6.2.]

The TeR interface offers records managers and privileged users the ability to close folders through the folder profile editing screen.

3.13 Cutting Off Record Folders [C2.2.6.3.]

The TeR interface offers records managers the ability to cut off record folders.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

The TeR interface offers records managers the ability to freeze and unfreeze records and folders.

3.15 Transferring Records [C2.2.6.5.]

The solution distinguishes between record transfers and record accessions. Transfers are treated as interim transfers, where a record is sent to secondary storage but the organization retains responsibility for that record. In this case, the actual file is removed from the repository, but the record metadata is kept within TeR. When the solution accessions records, it surrenders ownership of the record to another authority and the files and metadata are removed from the repository.

To search for folders (or series, files, documents) due for accession, the records manager queries the RMA. TeR presents a list of those folders and the records manager verifies they should be accessioned. TeR then writes the affected electronic files, a transmission log, and the folders and record metadata to a user specified directory. HighView deletes the corresponding repository objects from the HighView repository and deletes the record profile from TeR database. The transmission log and record metadata are saved in the user specified directory in XML format.

3.16 Destroying Records [C2.2.6.6.]

When destroying records, TeR deletes them from TeR and evokes a HighView service that deletes the records from the HighView repository. Once deleted, users cannot recall or undelete the electronic documents.

3.17 Cycle Vital Records [C2.2.6.7.]

The TeR user interface offers privileged users the ability to collect and cycle vital records and folders.

3.18 Searching and Retrieving Records [C2.2.6.8.]

Users search for HighView records by accessing the TeR search utility through the HighView user interface.

The user can extract a copy of any electronic document filed through the HighView user interface. Documents may also be extracted using the TeR user interface, if desired.

3.19 Access Control [C2.2.7.]

All access control is implemented in the TeR engine. HighView queries TeR to determine access privileges, so access is always synchronized across interfaces. Records managers assign access to folders, files, and records at the user and/or group level. The solution supports multiple-user access. During much of the certification test, at least two users worked simultaneously performing various functions including filing system maintenance, document filing, record retrieval, reporting, and disposition activities.

3.20 System Audits [C2.2.8.]

TeR provides all required auditing capabilities by recording record creation, access, and destruction events. HighView provides some additional auditing capabilities.

3.21 System Management Requirements [C2.2.9.]

The HighView/TeR pairing provides the required system management capabilities. Supporting operating systems and database management systems provide necessary backup and restore functionality.

4. Non-Mandatory Features Demonstrated

4.1 Workflow Capability

HighView's workflow module can be configured for deployment on a client server basis or via the web. HighView's workflow module allows for complex parallel processing, instantaneous document transfer, and the ability to embed rules, routes, and exceptions into the workflow process. In addition, the workflow component includes monitoring capabilities, such as audit trails of process data. Organizations can use the HighView Workflow Composer to build their own custom workflows or use the workflows included with the product.

4.2 Imaging Capability

HighView supports batch scanning of documents from within HighView, or via the more full-featured Advanced Batch Scanning module. The scanning process can be integrated with workflow processing for the efficient indexing of scanned documents and include steps for OCR (optical character recognition), full text indexing, and quality control. Scanned documents may also be filed as records into the Tarian eRecordsEngine.

4.3 Record Versioning Capability

HighView supports record versioning on documents not yet filed as records. Users have the ability to check out a document to their individual workspace, make changes, and check the document back into HighView. Upon check-in, the user has the option of adding notes regarding revisions made in support of the collaborative effort.

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